

FORM PTO-1390 (Modified)
(REV 10-95)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

4417

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/806852

INTERNATIONAL APPLICATION NO.
PCT/JP99/05498INTERNATIONAL FILING DATE
October 5, 1999PRIORITY DATE CLAIMED
October 5, 1998

TITLE OF INVENTION

PHOTOSENSITIVE POLYSILAZANE COMPOSITION AND METHOD OF
FORMING PATTERNED POLYSILAZANE FILM

APPLICANT(S) FOR DO/EO/US 1) Tatsuro NAGAHARA, 2) Hideki MATSUO,
3) Tomoko AOKI and 4) Kazuhiro YAMADA

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 18 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☒ Certificate of Mailing by Express Mail
19. ☒ Other items or information:

Specification and drawings

The filing fee must be based upon the claims as amended and added in the attached Preliminary Amendment.

Information Sheet

U.S. APPLICATION NO. (IF KNOWN) 37 CFR 09/800852	INTERNATIONAL APPLICATION NO. PCT/JP99/05498	ATTORNEY'S DOCKET NUMBER 4417
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20. The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :				CALCULATIONS PTO USE ONLY	
<input checked="" type="checkbox"/> Search Report has been prepared by the EPO or JPO			\$860.00		
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482)			\$670.00		
<input type="checkbox"/> No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))			\$760.00		
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO			\$970.00		
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)			\$96.00		
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$860.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)).				<input type="checkbox"/> 20	<input type="checkbox"/> 30
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	23 - 3 =	3	x \$18.00	\$54.00	
Independent claims	2 - 3 =	0	x \$80.00		
Multiple Dependent Claims (check if applicable).				<input type="checkbox"/>	
TOTAL OF ABOVE CALCULATIONS =				\$914.00	
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).				<input type="checkbox"/>	
SUBTOTAL =				\$914.00	
Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)).				<input type="checkbox"/> 20	<input type="checkbox"/> 30
TOTAL NATIONAL FEE =				\$914.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).				<input type="checkbox"/>	
TOTAL FEES ENCLOSED =				\$914.00	
				Amount to be: refunded	\$
				charged	\$

- ☐ A check in the amount of _____ to cover the above fees is enclosed.
- ☒ Please charge my Deposit Account No. 01-1944 in the amount of \$914.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 01-1944 A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Anderson, Kill & Olick P.C
1251 Avenue of the Americas
New York, NY 10020-1182

(212) 278-1000

SIGNATURE

Eugene Lieberstein

NAME

24,645

REGISTRATION NUMBER

April 4, 2001

DATE

09/806852

EXPRESS MAIL CERTIFICATE OF MAILING - SEPARATE PAPER

IN THE MATTER OF: NAGAHARA et al

ATTORNEY'S DOCKET NO.:4417

FOR: PHOTSENSITIVE POLYSILAZANE COMPOSITION AND METHOD OF
FORMING PATTERNED POLYSILAZANE FILM

I hereby certify that the new PCT/DO application with:

- ☒ transmittal letter
- ☒ specification and claims
- ☐ declaration
- ☒ 3 sheets drawings
- ☒ Preliminary Amendment
- ☒ Information Sheet

is being deposited with the United States Postal Services "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to the Assistant Commissioner of Patents , BOX PCT, Washington, DC 20231

on April 4, 2001.

EXPRESS MAIL LABEL NO.

EL763939685USAnne R. Jacoby

(Name of person making deposit)

Anne R. Jacoby

(Signature)

April 4, 2001

(Date)

Anderson Kill & Olick, P.C.
1251 Avenue of the Americas
New York, NY 10020-1182
1-212-278-1000